

## **CHAPTER 10**

### **REPORTING**

#### **I. INTRODUCTION.**

This chapter explains the various reports you must submit regarding your CDBG grant, Program Income (PI), and/or Revolving Loan Fund (RLF) activities.

#### **II. GRANTEE RESPONSIBILITIES**

You are responsible for monitoring all grant-supported activities to assure that time schedules are being met and milestones accomplished. You are also required to annually report on your PI and RLF activities (see E. and F. below). Failure to meet reporting requirements may at a minimum affect your rating on future CDBG funding applications, and may preclude you from applying.

This section gives instructions for completing the required periodic performance reports (included in Section VI, "Supporting Materials"). Note that the due dates given are the dates by which the Department should receive the reports.

- A. Program Activity Report (semi-annual, due by 4/30 and 10/31)
- B. Economic Development Progress Report (semi-annual, due by 4/30 and 10/31)
- C. Lump-sum Drawdown Report (periodic, due with cash requests, 180 days after deposit, and semi-annually)
- D. Wage Compliance Reports
  - 1. Semi-annual (due by 4/30 and 10/31)
  - 2. Final (due 30 days after construction completed)
- E. Program Income Report (annual, due by 8/15)
- F. Grantee Performance Report (annual, due by 8/15)
- G. Section 3 Report (annual, due by 8/15)

**A. Program Activity Report (PAR)**

When To Submit: For each open grant, you must prepare and submit a PAR semi-annually, or more frequently if required by the Department. The semi-annual reporting periods and due dates are as follows:

PAR Report Period	Date Due to the Department
October 1 through March 31	April 30
April 1 through September 30	October 31
Final PAR	Within 90 days of the grant expiration date

Instructions: Use the PAR to report your financial and program activity during the reporting period.

On page 1: Post the general information requested about your grant and the person preparing the PAR.

Section A: Post the approved budget by contract activity (per Attachment C of your contract), and report your accrued expenditures by contract activity (e.g., general administration, sewer laterals, housing rehabilitation, activity delivery). Then calculate the total expenditures and obligations (e.g., loan commitments) to date and the balance of your grant available.

Section B: Show your obligations and expenditures to date compared to your plan, by activity. Where applicable to an activity, note the number of housing units rehabilitated or jobs created/retained to date.

Section C: Report the budgeted leverage or matching funds commitments (see Attachment C of your contract) and/or PI used in conjunction with the grant, and the expenditures to date from each source.

Section D: Have an authorized representative complete the certification.

On page 2: Describe for each grant activity:

- progress and accomplishments;
- any problems encountered and/or resolved during the reporting period;

- assistance needed from the Department; and
- for any grantees with Housing Rehabilitation activities who are using the Lump-Sum Drawdown option for receiving funds, use this space to report on the progress made by the financial institution in meeting its commitments as stipulated in the Lump-Sum Drawdown Agreement (i.e., loans made with bank funds to households in the jurisdiction's housing rehabilitation program; contribution of administrative services; status of interest rate concessions)

**How To Submit:** Submit one original and one copy of the PAR to:

Department of Housing and Community Development  
Division of Community Affairs  
CDBG Program Manager, MS 390-2  
P. O. Box 952054  
Sacramento, CA 94252-2054

## **B. Economic Development Progress Report**

**When To Submit:** If you have an open ED grant, prepare and submit this semi-annual progress report on the same schedule as the PAR (see II.A, above).

**Instructions:** The report consists of the following:

Report Section	Who Completes
1. Assisted Business (chart)	All grantees
2. Job Creation/Retained Information (chart)	All grantees
3. Business Loan Information (chart)	Grantees with business loans
4. Public Infrastructure Grants (chart)	Grantees w/ public infrastructure activities
5. Microenterprise Assistance Activities	Grantees with microenterprise assistance activities
6. Narrative	All grantees
7. Certification and Signature	All grantees

**How To Submit:** Submit an original copy of the report to the ED Manager at the address listed in Section II.A. above.

### **C. Lump-Sum Drawdown Report**

The Lump-Sum Drawdown Report is a required report for any grantee who has selected the lump-sum drawdown option for receiving CDBG funds. This option is available only for Housing Rehabilitation activities.

See Chapter 9, Cash Requests, for information about how to request a lump-sum drawdown of funds.

See Chapter 16, Housing Rehabilitation, for additional information about the Lump-Sum Drawdown option, what is required to exercise this option, and a sample Lump-Sum Drawdown Agreement.

#### When To Submit:

- 30 and 60 days from the date the funds are initially requested
- within 180 days after the funds are received and deposited
- semi-annually by April 30 and October 31 each year as an attachment to the Program Activity Report
- with any subsequent cash requests after the cash request for the lump-sum drawdown

#### Instructions:

##### Section A. Lump-sum drawdown agreement information.

Fill in the blanks for this section as indicated on the form.

For #8. If the agreement is for a term other than 1 year, 18 months, or 2 years, the amount required to be disbursed should be prorated using the percentages attributed to each of the other terms. For example, if the term were 15 months, the required percentage to be disbursed by the 180<sup>th</sup> day would be 44 percent.

##### Section B. Fund reconciliation to date.

The purpose of this section is to report on funds received, disbursed, and remaining for future loans.

Fill in the blanks for this section as indicated on the form.

##### Section C. Comments.

Use this section for any explanatory comments regarding your entries.

#### Section D. Certification.

Have the jurisdiction's financial or executive officer sign and date this form. Provide the title of the person signing.

#### How To Submit:

For the Lump-Sum Drawdown Reports, except those submitted with cash requests, submit an original copy of the report to your CDBG Representative at the address shown in II. A. above.

For the reports required with the cash requests, follow the instructions for Cash Requests in Chapter 9.

#### **D. Wage Compliance Reports**

If your project invokes prevailing wages (see Chapter 5), you must complete and submit Wage Compliance Reports semi-annually during the construction period and at completion of construction.

##### 1. Semi-Annual Report.

When To Submit: Prepare and submit this report (see Section VI) semi-annually (same timeframe as for PARs) during the term of construction. Note that if your construction period is less than six months, you can just submit the Final Wage Compliance Report.

Instructions: Provide the information requested regarding the numbers and amounts of contracts awarded, labor violations and remedies.

How To Submit: Submit an original and one copy of the report to the CDBG Labor Standards Coordinator at the address in Section II.A above.

##### 2. Final Report.

When To Submit: Within 30 days of completion of construction, prepare and submit this report.

How To Submit: Submit an original and one copy of this report to the CDBG Labor Standards Coordinator at the address in Section II.A above.

#### **E. Program Income Report.**

When To Submit: Prepare and submit this report annually by August 15<sup>th</sup> of each year covering the period of July 1 through June 30 of the previous year. This report must be submitted by all grantees even if the amount of revenue received was zero or less than \$25,000. Use a single form to report on the receipt and use of PI from all grant and Revolving Loan Fund sources.

Note: See Chapter 14 for more information about Program Income (PI).

Instructions: See detailed instructions with the form.

How To Submit: Submit an original and one copy to the CDBG Program Manager at the address in Section II.A. above by August 15<sup>th</sup> of each year.

**F. Grantee Performance Report (GPR).**

When To Submit: Prepare a separate GPR for each current open grant and each revolving loan fund operated with CDBG program income. The report periods and due dates are as follows:

Report	Period Covered	Date Due to the Department
Initial GPR	Contract effective date to subsequent June 30	August 15
Subsequent GPRs	July 1 to June 30	August 15
Final GPR	July 1 to grant expiration or RLF closure	Within 90 days after contract expiration

Instructions: See detailed instructions with the form. Please note that prior to submitting your GPR(s), you must hold at least one noticed public hearing to report to the public your progress on your CDBG activities.

How To Submit: Submit an original and one copy of the GPR to the attention of the CDBG Program Manager at the address in Section II.A. above.

**G. Section 3 Report**

When To Submit: If your CDBG activities trigger Section 3 training and employment requirements (see Chapter 2), you will need to complete this report annually. The report is due to the Department by August 15<sup>th</sup>.

Instructions: See detailed instructions with the form.

How To Submit: Submit an original and one copy to the CDBG Program Manager at the address in Section II.A above.

**III. COMMON PROBLEMS**

- Failure to complete the required reporting forms or not using the most current version of the form.
- Not submitting reports or submitting them after the due date
- Submitting incomplete reports.

**IV. DEPARTMENT'S ROLE**

The program and fiscal staff are available to answer any questions you have about completing the reports. They also review the reports as they are submitted and compile the information for the Department's reports to HUD. Staff will notify you of any significant problems or errors and corrections needed.

**V. REFERENCES**

- State CDBG Regulations, Section 7110
- 24 CFR 570.502(a)(14)



- 24 CFR 85.40 and .41

## **VI. SUPPORTING MATERIALS**

• Economic Development Progress Report	10-9
• Grantee Performance Report (Instructions)	10-15
• Grantee Performance Report	10-18
• Lump-Sum Drawdown Report	10-24
• Program Activity Report	10-26
• Program Income Report (Annual)	10-28
• Program Income Report (Annual - Instructions)	10-29
• Section 3 Report	10-30
• Section 3 Report (Instructions)	10-33
• Wage Compliance Report (Semi-annual Labor Standards Enforcement Report)	10-35
• Wage Compliance Report (Semi-annual Labor Standards Enforcement Report)	10-37
• Wage Compliance Report (Final)	10-39

Grantee \_\_\_\_\_

Contract # \_\_\_\_\_

Report Period \_\_\_\_\_

Source of CDBG Funds

\_\_\_ Enterprise Fund

\_\_\_ Over-the-Counter

## ECONOMIC DEVELOPMENT PROGRESS REPORT

1. Assisted Businesses - *To be completed by all grantees.*

Name of Assisted Business	Type S= Start up E= Existing	Annual Sales Volume	# of Employees At time of CDBG Funding	Jobs Created Report Grant Period Period		TIG Jobs Created Grant Period	Jobs Retained Report Grant Period Period		TIG Jobs Retained Grant Period	CDBG Cost per Job <sup>1</sup>	Type of Assistance <sup>2</sup>

<sup>1</sup> Divide total number of full-time equivalent jobs created or retained that are in place (currently employed) for the grant period by the amount of CDBG assistance provided to the business.

<sup>2</sup> Designate type of assistance with letter symbols: BL=Business Loan, BG= Business Grant, IL=Infrastructure Loan, IG= Infrastructure Grant

2. Job Creation/Retention Information - *To be completed by all grantees for report period. Duplicate form for each additional assisted business*

Name of Business \_\_\_\_\_ Total Full Time Equivalent Jobs<sup>1</sup> \_\_\_\_\_

List each Jobholder by Job Title	Specify Job Type		Jobholder TIG Status		# of Annual Employment Hours	Pay Rate	Protected Class Status			Currently Employed Y/N
	Full-Time	Part -Time	TIG	Non-TIG			Ethnicity Race <sup>2</sup> F=Female	Handicapped	M=Male	

Instructions: Only jobs that are permanent and that provide at least 875 hours of employment can be counted as a part -time job. A full-time job must provide at least 1750 annual hours of employment. Part -time jobs of at least 875 hours can be aggregated into full -time equivalent jobs for purposes of meeting CDBG public benefit requirements. Jobs can be counted as “retained” jobs only if it has been documented that, without CDBG assistance, the jobs would be lost to the community.

<sup>1</sup> Enter total created or retained full time equivalent jobs in place as of end of report period

<sup>2</sup> Designate with number symbol: 1= Hispanic, 2= Black, 3=White, 4= American Indian, Alaska, Asian, or Pacific Islander

3. Business Loan Information - *Complete for business loan activities occurring within report period.*

Business Name	Loan Amount	Loan Interest Rate	Loan Term	Total Business Project Cost	Other Project Funds List amounts by Source	Use of CDBG Funds List amounts for each use. <sup>1</sup>	Loan Status <sup>2</sup>

<sup>1</sup> W= working capital, E= equipment, C= construction, L= land, I= onsite improvements

<sup>2</sup> 1= good standing, 2= monetary default, 3= nonmonetary default. If default, provide explanation and status on separate sheet.

4. Public Infrastructure Grants - *Complete for public infrastructure activities occurring within report period.*

Business Names (List benefiting businesses for each infrastructure project)	Total Infrastructure Cost	CDBG Funding Amount	Other Project Funds by Source

5. Microenterprise Assistance Activities - *Complete for microenterprise assistance activities occurring within the specified period.*

Performance Measurement	Report Period	Total Grant Period
# of Business Start Ups		
# of Business Expansions		
# of Jobs Created <sup>1</sup>		
# of Jobs Retained		
CDBG Cost per Job Created/Retained		
# of Clients Entering Program		

5. Microenterprise Assistance Activities (cont'd)

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<sup>1</sup> including self-employment

Performance Measurement	Report Period	Total Grant Period
# of Clients Completing Program		
# of CDBG Loans To Microenterprises		
Total CDBG Funds for Microenterprise Loans		
#of Clients Receiving Technical Assistance and Business Support		
# of Clients Receiving General Support (e.g., peer support, counseling, child care, transportation)		
Other Performance Measurement Specify _____ _____		

6. Provide any additional information regarding accomplishments or impediments to program implementation.

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7. Certification: I certify to the best of my knowledge this report is true in all respects.

Name

Title

Signature

Date

## Community Development Block Grant Program

### GRANTEE PERFORMANCE REPORT

for period \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

#### Coversheet/Certification

##### General Information:

Jurisdiction: \_\_\_\_\_ Annual or Final GPR

Grant # or RLF Name: \_\_\_\_\_

If grant, check type: \_\_\_\_ G/NA \_\_\_\_ ED \_\_\_\_ P/TA General \_\_\_\_ P/TA ED

Address of Jurisdiction: \_\_\_\_\_  
\_\_\_\_\_

Name of Preparer: \_\_\_\_\_

Title, Phone: \_\_\_\_\_

##### Checklist of Contents (include all parts applicable to your grant/RLF type):

- \_\_\_\_ Coversheet/Certification
- \_\_\_\_ Part 1. Summary of Housing Accomplishments for Housing Rehabilitation & New Construction
- \_\_\_\_ Part 2. Summary of Community Development Accomplishments for Community Facilities
- \_\_\_\_ Part 3. Summary of Community Development Accomplishments for Public Works
- \_\_\_\_ Part 4. Summary of Community Development Accomplishments for Public Services
- \_\_\_\_ Part 5. Summary of Actual Economic Development Accomplishments
- \_\_\_\_ Part 6. Summary of CDBG Beneficiaries by Ethnicity
- \_\_\_\_ Part 7. Summary of Contractor Information
- \_\_\_\_ Part 8. Summary of CDBG Program Leverage of Funding from Other Sources

##### Certification:

I have reviewed the enclosed documents and certify that to the best of my knowledge the data included in this report is true and accurate and the supporting records will be maintained and are available for State review.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Printed Name and Title

**Part 1. Summary of Housing Accomplishments for Housing Rehabilitation and New Construction**

<b>Priority Need Category</b>	<b>Households Assisted</b>
<b>Renters</b>	
0 - 30% of CMI*	
31 - 50 of CMI	
51 - 80 of CMI	
Total	
<b>Owners</b>	
0 - 30% of CMI	
31 - 50 of CMI	
51 - 80 of CMI	
Total	
<b>Homeless**</b>	
Individuals	
Families	
Total	
<b>Non-Homeless Special Needs</b>	
Total	
<b>Total Housing</b>	

\* CMI : County Median Income

\*\* Homeless families and individuals assisted with transitional and permanent housing and housing assistance to homeless individuals



Jurisdiction: \_\_\_\_\_  
No. \_\_\_\_\_

Report Period: 7/1/\_\_\_\_ to 6/30/\_\_\_\_

Grant

**Part 2. Summary of Community Development Accomplishments for Community Facilities**

<b>Priority Need Category</b>	<b>Assisted During Report Period</b>		<b>Completed During Report Period</b>	
	<b>Projects</b>	<b>Persons</b>	<b>Projects</b>	<b>Persons</b>
Community Facilities				
Senior Centers				
Handicapped Centers				
Homeless Centers				
Youth Centers				
Neighborhood Facilities				
Child Care Centers				
Parks and/or Recreation Facilities				
Health Facilities				
Parking Facilities				
Abused/Neglect Facilities				
AIDS Facilities				
Food Banks				
Other Public Facilities (Specify)				

**Part 3. Summary of Community Development Accomplishments for Public Works**

<b>Priority Need Category</b>	<b>Assisted During Report Period</b>		<b>Completed During Report Period</b>	
	<b>Projects</b>	<b>Households</b>	<b>Projects</b>	<b>Households</b>
Public Works				
Solid Waste Improvements				
Flood Drain Improvements				
Water Improvements				
Street Improvements				
Sidewalk Improvements				
Sewer Improvements				
Asbestos Removal				
Other Infrastructure Improvements				

(Specify)				
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Jurisdiction: \_\_\_\_\_

Report Period: 7/1/\_\_\_\_ to 6/30/\_\_\_\_  
No. \_\_\_\_\_

Grant

**Part 4. Summary of Community Development Accomplishments for Public Services**

<b>Priority Need Category</b>	<b>Number of Persons Served</b>
<b>Public Services</b>	
Senior Services	
Handicapped Services	
Youth Services	
Transportation Services	
Substance Abuse Services	
Employment Training	
Crime Awareness	
Fair Housing Counseling	
Tenant/Landlord Counseling	
Child Care Services	
Health Services	
Other Public Services (Specify)	
<b>Accessibility Needs</b>	
<b>Other Community Development</b>	
Energy Efficiency Improvements	
Lead Based Paint/Hazards	
Code Enforcement	
Other (Specify)	

Jurisdiction: \_\_\_\_\_ Report Period: 7/1/\_\_\_\_ to 6/30/\_\_\_\_ Grant No. \_\_\_\_\_

**Part 5. Summary of Actual Economic Development Accomplishments**

<b>Priority Need Category</b>	<b>Actual Number of Businesses Assisted</b>	<b>Actual Number of Persons Assisted with Jobs</b>	<b>Actual Number of LI Persons Assisted with Jobs</b>	<b>Actual Number of MI Persons Assisted with Jobs</b>
Commercial-Industrial Rehabilitation				
Commercial-Industrial Infrastructure				
Commercial-Industrial Other Improvements				
Microenterprise Assistance New Businesses				
Microenterprise Assistance Existing Businesses				
Microenterprise Assistance Other				

**Column 1, Priority Need Category**

Report accomplishments for six kinds of assistance as described below:

1. Commercial-Industrial Rehabilitation: Provide information for businesses which provided assistance in rehabilitating their existing buildings(s).
2. Commercial-Industrial Infrastructure: Provide information for businesses which benefited from private or public infrastructure improvements, e.g., water, sewer, streets.
3. Commercial-Industrial Other Improvements: Provide information for businesses which received any other kind of assistance, e.g., new building construction, working capital loans, equipment loans, etc.
4. Microenterprise Assistance, New Businesses: Provide information for microenterprise assistance activities which resulted in new businesses.
5. Microenterprise Assistance, Existing Businesses: Provide information for microenterprise assistance activities which benefited existing business owners.
6. Microenterprise Assistance, Other: Provide information for persons that completed microenterprise training but did not start businesses.

**Column 2, Actual Number of Businesses Assisted.** Indicate the actual number of businesses which received loans, benefited from infrastructure improvements, or benefited from the microenterprise assistance program.

**Column 3, Actual Number of Persons Assisted with Jobs.** Indicate the actual number of new or retained jobs resulting from the economic development activity.

**Column 4, Actual Number of LI Persons Assisted with Jobs.** Indicate the actual number of new or retained jobs for persons with household incomes less than 50 percent of area median income.

**Column 5, Actual Number of MI Persons Assisted with Jobs.** Indicate the actual number of new or retained jobs for

persons with household incomes greater than 50 percent but less than 80 percent of area median income .

Jurisdiction: \_\_\_\_\_ Report Period: 7/1/\_\_\_\_ to 6/30/\_\_\_\_ Grant No. \_\_\_\_\_

**Part 6. Summary of CDBG Beneficiaries By Ethnicity**

	<b>Households Assisted With CDBG Housing Activities</b>	<b>Individuals Assisted With All Other CDBG Activities</b>
White, not Hispanic		
Black, not Hispanic		
Hispanic		
Asian/Pacific Islander		
American Indian/Alaskan		
Other		
<b>Total Number of Households</b>		

**Part 7. Summary of Contractor Information**

<b>Firm Owned Wholly Or In Substantial Part By:</b>	<b>Value Of Contract(s)</b>
Minority Group Members	\$
Women	\$
Other	\$

**Part 8. Summary of CDBG Program Leverage of Funding from Other Sources**

	<b>Housing Rehabilitation</b>	<b>New Construction</b>	<b>Home Buyer Assistance</b>	<b>Total by Source</b>
Federal	\$	\$	\$	\$
State	\$	\$	\$	\$
Local	\$	\$	\$	\$
Private	\$	\$	\$	\$
<b>Total - All Sources</b>	\$	\$	\$	\$

**Community Development Block Grant Program**

**LUMP-SUM DRAWDOWN REPORT**

Grantee: \_\_\_\_\_ Contract #: \_\_\_\_\_

Report Period: \_\_\_\_\_

**Section A. - Lump-sum drawdown agreement information**

1. Date Lump-sum drawdown agreement approved by HCD: \_\_\_\_\_
2. Date lump-sum drawdown agreement was executed: \_\_\_\_\_
3. Check term of agreement:  

☐ 1 year  
☐ 18 months  
☐ 2 years  
☐ other (not to exceed 2 yrs.)
4. Date lump-sum drawdown deposit was made into financial institution: \_\_\_\_\_
5. Date which is 45 days past date in #4: \_\_\_\_\_
6. Date first lump-sum loan was approved (must be made by date noted in #4): \_\_\_\_\_
7. Date which is 180 days past date in #4: \_\_\_\_\_
8. Percent of lump-sum drawdown funds disbursed by the 180<sup>th</sup> day: \_\_\_\_\_

Note: the percent of funds to be disbursed by the 180<sup>th</sup> day varies depending on the term of the lump-sum agreement. The schedule below shows the required disbursement rates by term of agreement:

If the term of the agreement is:	The required disbursement percentage is:
1 year	50%
18 months	38%
2 years	25%
other(not to exceed 2 yrs.)	prorated based on term

**Section B.- Fund reconciliation to date**

1. Lump-sum amount requested: \$ \_\_\_\_\_
2. Repayment of principal and interest  
from loans made under this agreement: \$ \_\_\_\_\_
3. Interest earned on the lump-sum deposit  
account: \$ \_\_\_\_\_
4. Total funds available (1 + 2+3):  
\$ \_\_\_\_\_
5. Total amount of loans made to date:  
\$ \_\_\_\_\_
6. Total available for future loans (4-5):  
\$ \_\_\_\_\_

**Section C. Comments****Section D. Certification**

I certify that to the best of my knowledge this report is true in all respects and that all expenditures reported are for the purpose and conditions of this grant.

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Name	Title	Signature	Date
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**Community Development Block Grant Program  
CASH REQUEST**

**Report #:** \_\_\_\_\_

Grantee: _____ Address: _____ Phone No. _____	Contact Person: _____ Title: _____ Phone No. _____	Grant #: _____ Am. # _____ Report Period: _____ To: _____ Expiration Date: _____
<b>ADVANCE</b> <input type="checkbox"/>	<b>LUMP SUM</b> <input type="checkbox"/>	<b>REIMBURSEMENT</b> <input type="checkbox"/>
<b>A. CASH REQUEST</b>		
1. Total CDBG cash received as of request date		_____
2. Program Income received and available for this grant activity as of request date		_____
3. CDBG cash disbursed as of request date		_____
4. Program Income disbursed for this grant activity as of request date		_____
5. CDBG cash on hand as of request date (1+2+3+4)(if >\$5,000 explain in Comment section)		_____
6. Total CDBG funds previously requested (not including line 7)		_____
7. Amount of this CDBG Cash Request		_____
8. Cash Request by contract activity (must equal amount on line 7)		
1. _____	3. _____	_____
2. _____	4. _____	_____
9. If Escrow Account - Current Balance _____		
Will balance be expended within 22 working days of deposit? <input type="checkbox"/> Yes <input type="checkbox"/> No		
10. Comments:		
_____		
_____		
<b>B. CERTIFICATION</b>		
I certify that to the best of my knowledge this report is true in all respects and that all disbursements have been made for the purpose and conditions of this grant.		
Name	Title	Signature
Date		
<b>STATE USE ONLY</b>		
15-day environmental review comment period applicable		Yes ___ No ___
CDBG Fiscal Representative _____		Date: _____
CDBG Program Representative _____		Date: _____
CDBG Manager _____		Date: _____
Index _____	PCA _____	Amount _____
Index _____	PCA _____	Amount _____
		Grant Balance _____

Revised August 27, 1998

CDBGGMM.9/99

## **Community Development Block Grant Program**

### **PROGRAM ACTIVITY REPORT**

Grantee: \_\_\_\_\_ Grant # \_\_\_\_\_ Report Period \_\_\_\_\_

Instructions: By contract activity (e.g., housing rehab., microenterprise assistance, general administration), provide information regarding the status of funded activities. Describe accomplishments (e.g., special conditions met; number of housing units completed, jobs created, lateral hook-ups) for the report period and cumulatively. Discuss any delays or problems experienced with project implementation and how they have been or are being resolved. Use additional pages if necessary.

If this report is for a Housing Rehabilitation activity that has selected the Lump-Sum Drawdown payment method, provide information here about the progress made by the participating financial institution in meeting its commitment as stipulated in the Lump-sum Drawdown Agreement.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## ANNUAL PROGRAM INCOME REPORT

Jurisdictions that earn program income (PI) from CDBG activities (see Chapter 14 for details), must adopt local program and reporting procedures that ensure compliance with CDBG eligibility, national objectives, and reporting requirements. Jurisdictions must then report annually to the Department on the receipt and use of PI, using one report for the jurisdiction. Note that if the gross income earned from all CDBG-funded activities is less than \$25,000, it does not have to be considered PI.

Instructions for completing the report are as follows:

**Heading** - The information requested is self-explanatory except for “Program Income on Hand.” On this line, please report **all** program income (PI) on hand at the end of the fiscal year. This would include PI held in revolving loan funds, as reported in Section V, Column E of this report, plus any PI held/deposited in other accounts.

**Section I**, summarize the program income (PI) received from open and closed CDBG grants and how it was used. When initially received, PI from a CDBG grant can only be used for an open grant, returned to the Department or deposited into an revolving loan fund (RLF).

1. In column A, list the grant number of each CDBG grant that earned PI.
2. In column B, report the total amount of PI received from each grant. The costs incidental to the generation of program income may be deducted from gross income to determine program income.
3. In column C, report the PI used for an open grant and/or returned to the Department.
4. In column D, report the total amount of PI deposited into a RLF.

NOTE: In the comments section, explain the purpose and amount of PI used for an open grant.

**Section II**, summarize the PI received from your revolving loan funds. Interest earned on funds deposited in the RLF and the repayment of loans will be the most common sources of PI earned by a RLF.

1. In column A, list the RLF's in use.
2. In column B, report the total PI earned from each RLF. The costs incidental to the generation of program income may be deducted from gross income to determine program income.
3. In column C, report the amounts deposited into each RLF, as reported in Section I, Column D.
4. In Section D, report the total PI earned and deposited into each RLF. (Columns B plus C)

NOTE: The totals of Section I, Column B and Section II, Column B will be the total PI earned during the report period. If the total PI earned is less than \$25,000, the income can be classified as miscellaneous revenue by the jurisdiction.

**Section III**, summarize the PI disbursed from each RLF.

1. In column A, list the RLF's in use.
2. In column B, report the amount of PI disbursed for revolving activities.
3. In column C, report the amount of PI disbursed for non-revolving activities.
4. In Column D, report the total PI disbursed from each RLF. (Columns B plus C)

NOTE: At least 51% of the funds disbursed from a RLF must be for revolving activities, such as loans, and no more than 49% can be for non-revolving activities. However, if RLF's are used to amend an open grant, these funds will be reported in column C, but will not be included when calculating these percentages. The purpose and amount of any RLF's used to amend an open grant must be explained in the comments section of the report.

**Section IV**, summarize, in detail, the RLF's disbursed for non-revolving activities.

1. In column A, list the RLF's in use.
2. In column B, report the total amounts disbursed for non-revolving activities, as reported in Section III, column C.
3. In column C, report the amounts disbursed for general administration.
4. In column D, report the amounts used for grants made with RLF.
5. In column E, report the amounts used for activity delivery.
6. In column F, report the amounts used to amend an open grant to add an activity and/or to augment the funding of an open grant activity.

NOTE: The totals of columns C, D, and E must equal column B. Also, funds disbursed for general administration are limited to 18% of the 49% allowed for non-revolving activities.

**Section V**, summarize the RLF's ending balances.

1. In column A, list the RLF's in use.
2. In column B, report the beginning balance of each RLF.
3. In column C, report the total PI earned/deposited to each RLF, as reported in Section II, column D.
4. In column D report the total PI disbursed, as reported in Section III, column D.
5. In column E, report the ending balance of each RLF. (Columns B+C-D)

NOTE: The amounts reported in Sections I to V should agree with the jurisdictions official accounting records.

**Section VI**, provides information on the amount of program revenue used to service the CDBG loans. Grantees that do not use this option will report zero (\$0) for Loan Servicing Costs and the reported Gross Revenue Earned will equal the Reported Program Income. Grantees that elect to use this option will report the **total** program revenue earned less the **total** program revenue used to service the loans. The difference will be the **program income** received during the report period, which will be reported on Section I, Column B and Section II, Column B.

**Section VII** is the jurisdiction's certification that the report is accurate and that all PI was expended for CDBG eligible activities that addressed a national objective.

**Community Development Block Grant Program  
ANNUAL PROGRAM INCOME REPORT**

Jurisdiction: \_\_\_\_\_

Report Period 7/1/\_\_\_\_ to 6/30/\_\_\_\_

Date Reuse Plan Submitted: \_\_\_\_\_ Program Income on Hand\*: \_\_\_\_\_

\*Include PI reported in Sect.V, Col. E and any PI on hand that has not been deposited into a RLF.

<b>SECTION I. PI RECEIVED FROM CDBG GRANTS</b>			
<b>A. CDBG Grant Number</b>	<b>B. Total Program Revenue Received During Report Period<sup>(1)</sup></b>	<b>C. Program Revenue Used for Open Grants or Returned to Dept.<sup>(2)</sup></b>	<b>D. Program Revenue Deposited into RLF's</b>
<b>1.</b>	\$	\$	\$
<b>2.</b>			
<b>3.</b>			
<b>4.</b>			
<b>5.</b>			
<b>TOTAL:</b>	\$	\$	\$

(1) Column B must equal columns C plus D. Column B figures should be the net receipts after deducting costs of obtaining the income.

(2) Explain in the Comments Section the purpose and amount of PI used for open grants.

<b>SECTION II. PI RECEIVED FROM RLF's</b>			
<b>A. RLF Name</b>	<b>B. Total Program Revenue Earned on RLF's<sup>(3)</sup></b>	<b>C. Deposits to RLF from Section I, Column D</b>	<b>D. Total PI Earned &amp; Deposited into RLF's (Columns B + C)</b>
<b>1.</b>	\$	\$	\$
<b>2.</b>			
<b>3.</b>			
<b>TOTAL:</b>	\$	\$	\$

(3) Only report revenue earned on RLF such as loan payments and interest after deducting the cost of obtaining the income.

<b>SECTION III. STATUS OF RLF's USED</b>			
<b>A. RLF Name</b>	<b>B. PI Disbursed for Revolving Activities<sup>(4)</sup></b>	<b>C. PI Disbursed for Non- Revolving Activities<sup>(5)</sup></b>	<b>D. Total PI Disbursed (Columns B + C)</b>
<b>1.</b>	\$	\$	\$
<b>2.</b>			
<b>3.</b>			
<b>TOTAL:</b>	\$	\$	\$

(4) At least 51% of PI disbursed during FY must be for revolving activities.

(5) Up to 49% of PI disbursed during FY can be for non-revolving activities. PI used to amend an open grant is reported on

\_\_\_\_\_

Column C, but is not included when determining the above percentages. In the Comment Section, explain the purpose and amount of RLF funds used to amend the open grant.

SECTION IV. NON-REVOLVING EXPENDITURES					
A.  RLF Name	B. PI Disb. for Non-Revolving Activities from Sect. III, Col. C	C. Amount Used For General Admin.	D. Amount Used For RLF Grants	E. Amount Used For Activity Delivery	F. Amount Used For Open Grants <sup>(6)</sup>
1.	\$	\$	\$		\$
2.					
3.					
<b>TOTAL:</b>	\$	\$	\$		\$

(6) Amount used to amend and/or augment open grant activities.

SECTION V. RLF BALANCE				
A.  RLF Name	B.  Beginning Balance	C. Total PI Earned from Sec. II, Col. D	D. Total Disbursed from Section III Column D.	E.  Ending Balance (Cols. B+C-D)
1.	\$	\$	\$	\$
2.				
3.				
<b>TOTAL:</b>	\$	\$	\$	\$

Section VI. LOAN SERVICING COSTS
<p>Grantees that elect to deduct loan servicing costs from program revenue to determine the revenue reported as <b>Program Income</b> need to provide the following information:</p> <p>Gross Revenue Earned minus Loan Servicing Costs equals Reported Program Income:            \$_____ minus \$_____ equals \$_____</p> <p>Note: The Reported Program Income will equal the total of Section I, Column B and Section II, Column B.</p>

SECTION VII. GRANTEE CERTIFICATION OF REPORT
<p>This certification indicates that this report is true in all respects and that all program income expenditures were for CDBG-eligible activities which addressed a national objective.</p> <p>Authorized Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_





## State Community Development Block Grant Program

### SECTION 3 REPORT

Jurisdiction: \_\_\_\_\_ Report Period: 7/1/\_\_\_ to 6/30/\_\_\_

Grant Number(s): \_\_\_\_\_

Contact Person, Title and Phone: \_\_\_\_\_

#### I. Employment and Training

A. Job Category	B. % of Aggregate New Hires that are Section 3 Residents	C. % of Total Staff Hrs for Section 3 employees & trainees	D. # of Section 3 Employees & Trainees	*				
				1	2	3	4	5
Professionals								
Technicians								
Office/clerical								
Construction by trade (list):								
Trade:								
Trade:								
Trade:								
Trade:								
Trade:								
Other (list):								
Other (list):								

\* Identify Racial/Ethnic Codes: 1 - White 2 - Black 3 - Native American 4 - Hispanic 5 - Asian/Pacific

## II. Contracts Awarded

### A. Construction contracts:

1. Total dollar amount of all contracts awarded on the project(s):\$\_\_\_\_\_
2. Total dollar amount of contracts awarded to Section 3 business(es):\$\_\_\_\_\_
3. Percentage of total dollar amount awarded to Section 3 business(es):\_\_\_\_\_%
4. Total number of Section 3 businesses receiving contracts: \_\_\_\_\_
5. Number of Section 3 businesses receiving contracts by racial/ethnic code:

White	_____	Hispanic	_____
Black	_____	Asian/Pacific	_____
Native American	_____	Hasidic Jew	_____

### B. Non-construction contracts:

1. Total dollar amount of all non-construction contracts awarded on the project(s)/activity(ies): \$\_\_\_\_\_
2. Total dollar amount of non-construction contracts awarded to Section 3 business(es): \$\_\_\_\_\_
3. Percentage of total dollar amount that was awarded to Section 3 business(es): \$\_\_\_\_\_
4. Total number of Section 3 business(es) receiving non-construction contracts: \$\_\_\_\_\_
5. Enter the number of Section 3 business(es) receiving non-construction contracts by racial/ethnic code:

White	_____	Hispanic	_____
Black	_____	Asian/Pacific	_____
Native American	_____	Hasidic Jew	_____

## III. Summary

State the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. Check all that apply:

- \_\_\_\_\_ Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contacts with community organizations and public or private agencies operating within the metropolitan area (or non-metropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- \_\_\_\_\_ Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- \_\_\_\_\_ Participated in a HUD program or other program which promotes the award of contracts to business

concerns which meet the definition of Section 3 business concerns.

\_\_\_\_\_ Coordinated with the Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.

\_\_\_\_\_ Other, describe below:

### Instructions for completing the Section 3 report

Complete one report for CDBG, regardless of the number of open grants you have. Submit the original and one copy of the report by August 15. If you receive other HUD funding for section 3 covered activities, for example HOME funds, then you would complete a separate report for the HOME program. Use the appropriate form provided to you by each program.

1. Enter the grantee name and address.
2. Enter the grant number of each grant covered by Section 3.
3. Enter the name, title and telephone number of the person who can answer questions regarding the report submitted.
4. Enter the reporting period -- July 1, 19\_\_ through June 30, 19\_\_

#### Part I: Employment and Training Opportunities

Column A: Job Category -- Professionals are defined as people who have special knowledge of an occupation (i.e., supervisors, architects, surveyors, planners, and computer programmers). For construction positions, list each trade and provide data in columns B through F for each trade where persons were employed.

Column B: % of Aggregate New Hires that are Section 3 Residents. Enter the result of the formula below:

$$\text{___ \%} = \frac{\text{New Hires among the CDBG workforce that are section 3 residents}}{\text{Total New Hires in the CDBG workforce.}}$$

Column C: % of total staff hours for Section 3 employees and trainees. Enter the result using the formula below. Count hours worked by full time employees of the CDBG workforce who work on Section 3 covered projects. If you have a full-time employee who works part time on CDBG activities, then only count the hours worked on CDBG activities.

$$\text{___ \%} = \frac{\text{Total staff hours worked by S3 employees of the CDBG workforce}}{\text{Total staff hours worked by CDBG workforce}}$$

Column D: Number of Section 3 employees and trainees. Enter the number of Section 3 residents that were hired in connection with the grant award(s). Count only full time employees.

Column E: Enter under each racial/ethnic code (1-5) the number of employees and trainees recorded in column D.

## Part II: Contracts Awarded

### A. Construction Contracts:

1. Enter the total dollar amount of all contracts awarded on all CDBG funded Section 3 projects.
2. Enter the total dollar amount of contracts awarded to Section 3 business concerns on all CDBG funded Section 3 projects.
3. Enter the percentage of the total dollar amount of contracts awarded to Section 3 business concerns. (item 2 divided by item 1 = item 3 )
4. Enter the total number of Section 3 business concerns receiving contracts.
5. Enter the number of Section 3 business concerns by racial/ethnic code (1-6). The total of the numbers entered here should equal the total reported in II.A.4, above.

### B. Non-Construction Contracts:

1. Enter the total dollar amount of all non-construction contracts awarded on all CDBG funded Section 3 projects.
2. Enter the total dollar amount of non-construction contracts awarded to Section 3 business concerns on all CDBG funded projects.
3. Enter the percentage of the total dollar amount of non-construction contracts awarded to Section 3 business concerns. (item 2 divided by item 1 = item 3)
4. Enter the total number of Section 3 businesses receiving non-construction contracts.
5. Enter the number of Section 3 business concerns by racial/ethnic codes (1-6). The total of the numbers entered here should equal the total reported in II.B.4, above.

## Part III: Summary of Section 3 Efforts - Self-Explanatory

## Community Development Block Grant Program

### WAGE COMPLIANCE REPORT- FINAL

(Prepare on jurisdiction's letterhead)

Attn: State CDBG Labor Standards Coordinator

Subject: Final Wage Compliance Report

#### I. Coverage

Project Name: \_\_\_\_\_ Project Completion Date: \_\_\_\_\_

State CDBG No: \_\_\_\_\_ Project Location: \_\_\_\_\_

Address City Zip

Prime Contractor: \_\_\_\_\_

Name

Address

City

State

Zip

Subcontractor: \_\_\_\_\_

Name

Address

City

State

Zip

#### II. Violations

1. Wage restitution in the total amount of \$ \_\_\_\_\_ has been paid to \_\_\_\_\_ employees by the above listed contractors.
2. Attach a list of names of employees, their employers and amount of restitution for each employee.
3. Method of restitution: \_\_\_\_\_ paid by contractor  
\_\_\_\_\_ paid by City/County with funds withheld from payment to contractor

Were any wage underpayments willful? YES NO  
(If yes, see attached detailed report)

Were any liquidated damages assessed? YES NO  
(If yes, see attached detailed report)

Are administrative sanctions being considered? YES NO  
(If yes, see attached detailed report)

Wage underpayments were discovered through: \_\_\_\_\_

The types(s) of violations were: \_\_\_\_\_

Signed: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

NOTE: Where underpayments by a contractor or subcontractor total \$1,000 or more, or where there is reason to believe that the violations are aggravated or willful (or, in the case of the Davis-Bacon Act, that the contractor has disregarded its obligations to employees and subcontractors), the grantee shall furnish within 30 days after completion of its investigation, this enforcement report to the Department.

## Community Development Block Grant Program

### WAGE COMPLIANCE REPORT - SEMI-ANNUAL

Grantee: \_\_\_\_\_

Contract #: \_\_\_\_\_

1. Period Covered: \_\_\_\_\_ through \_\_\_\_\_
2. Total number of prime contracts awarded which are subject to federal labor standards: \_\_\_\_\_
3. Total dollar amount of prime contracts reported in No. 2 above: \_\_\_\_\_
4. Number of contractors/subcontractors against whom complaints were received: \_\_\_\_\_
5. Number of labor standards investigations initiated by Grantee: \_\_\_\_\_
6. Number of contractors/subcontractors found in violation as a result of investigation(s), above: \_\_\_\_\_
7. Number of investigations referred to, or performed by other agencies: HCD/Labor Standards: \_\_\_\_\_  
State Labor Commissioner: \_\_\_\_\_
8. Number of contractors/subcontractors found in violation as a result of investigation(s): \_\_\_\_\_
9. Amount of wage restitution resulting from investigation(s), above: \_\_\_\_\_
  - a) Under DBRA (Davis-Bacon and Related Acts for payment of prevailing wage rates): \_\_\_\_\_
  - b) Under CWHSSA (Contract Work Hours and rates): \_\_\_\_\_
  - c) Liquidated damages collected for CWHSSA violations: \_\_\_\_\_
10. Number of employees to whom restitution was found due: \_\_\_\_\_
11. Total amount of back wages collected and disbursed this period (including No. 9, above, and routine payroll reviews, etc.): \_\_\_\_\_
12. Total amount of liquidated damages assessed (including amount reported in No. 9, above, and all other amounts assessed for CWHSSA violations): \_\_\_\_\_
13. Comments:
14. Certification:

I certify that to the best of my knowledge this report is true in all respects and that all expenditures reported are for the purpose and conditions of this grant.

Name

Title

Signature

Date